

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: **Yang-Chang WU**

Serial No.: **NOT ASSIGNED**

Art Unit: **NOT ASSIGNED**

Filed: **December 7, 2001**

Examiner: **NOT ASSIGNED**

For: **NOVEL CYTOTOXIC ANNONACEOUS ACETOGENINS FORM ANNONA  
MURICATA**

**STATEMENT OF SMALL ENTITY STATUS**

Assistant Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

Sir:

In accordance with the provisions of 37 CFR §1.27, attached hereto is a Verified  
Statement Claiming Small Entity Status -- Independent Inventor which has been  
executed by the Assignee(s) of the entire interest.

It is respectfully requested that Applicant be granted the benefit of the Small  
Entity Status and that receipt of this status document be acknowledged in due course.

Respectfully submitted



Fei-Fei Chao, Ph.D.  
Reg. No. 43,538

Date: December 7, 2001

Venable, Baetjer, Howard & Civiletti, LLP  
1201 New York Avenue, N.W.  
Suite 1000  
Washington, D.C. 20005  
(202) 216-8011

FOIA b 7 - DECLASSIFIED

## INDEPENDENT INVENTOR(S)

## INSTRUCTIONS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled NOVEL CYTOTOXIC ANNONACEOUS ACETOGENINS FROM ANNONA MURICATA described in

Insert title of  
application

Check one,  
fill in if b) [  
or c)

- a) ☒ the specification filed herewith.  
b) ☐ application serial no. \_\_\_\_\_ filed \_\_\_\_\_  
c) ☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person has made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

Check one [  
b), insert  
co-owners

- a) ☒ no such person, concern, or organization  
b) ☐ persons, concerns or organizations listed below

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
a) ☐ INDIVIDUAL b) ☐ SMALL BUSINESS CONCERN c) ☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
a) ☐ INDIVIDUAL b) ☐ SMALL BUSINESS CONCERN c) ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

Insert each  
inventor

Yang-Chang WU  
NAME OF INVENTOR NAME OF INVENTOR NAME OF INVENTOR

Sign

Wu Yang-Chang  
Signature of Inventor Signature of Inventor Signature of Inventor

Date

December 3, 2001  
Date Date Date

## DECLARATION FOR PATENT APPLICATION AND APPOINTMENT OF ATTORNEY

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name: I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention (Design, if applicable) entitled: **NOVEL CYTOTOXIC ANNONACEOUS ACETOGENINS FORM ANNONA MURICATA**

the specification of which (check one):

☒ is attached hereto.

☐ was filed on:

as Application Serial No.:

and (if applicable) was amended on:

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in *Title 37, Code of Federal Regulations, § 1.56*. I hereby claim foreign priority benefits under *Title 35, United States Code § 119* of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

PRIOR FOREIGN APPLICATION(S)			PRIORITY CLAIMED	
Number	Country	Day/Month/Year Filed	Yes	No

I hereby claim the benefit under *Title 35, United States Code, § 120* of any United States application(s) or PCT international application(s) designating The United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of *Title 35, United States Code, § 112*, I acknowledge the duty to disclose information which is material to patentability as defined in *Title 37, Code of Federal Regulations, § 1.56* which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

Application Number	Filing Date	Status - Patented, Pending or Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under *section 1001 of title 18 of the United States Code* and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**POWER OF ATTORNEY:** I(We) hereby appoint as my(our) attorneys, with full powers of substitution and revocation, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Fei-Fei CHAO 43538

I(We) authorize my(our) attorneys to accept and follow instructions from **TAI E INTERNATIONAL PATENT & LAW OFFICE** regarding any matter related to the preparation, examination, grant and maintenance of this application, any continuation, continuation-in-part or divisional based thereon, and any patent resulting therefrom, until I(We) or my(our) assigns withdraw this authorization in writing.

Send correspondence to: Venable, Baetjer, Howard & Civiletti, LLP Telephone Calls to: 202-216-8011

1201 New York Avenue, N.W.

Suite 1000

Washington, D.C. 20005-3917

U.S.A.

Full Name of First or Sole Inventor Yang-Chang WU	
Post Office Address <input checked="" type="checkbox"/> Same as Residence	Citizenship Taiwan, R.O.C.
Residence Address No. 100, Shih-Chuan 1st Rd., Kaohsiung, Taiwan, R.O.C.	
DATE December 3, 2001	SIGNATURE Wu yang - Chang
Full Name of Joint Inventor	
Post Office Address <input checked="" type="checkbox"/> Same as Residence	Citizenship
Residence Address	
DATE	SIGNATURE

☐ See following pages for additional joint inventors.

POWER OF ATTORNEY

Docket No. 33144-  
177127

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Inventor(s): Yang-Chang WU

Title: NOVEL CYTOTOXIC ANNONACEOUS ACETOGENINS FORM ANNONA MURICATA

POWER OF ATTORNEY

Hon. Commissioner of Patents and Trademarks

Washington, D.C. 20231

Sir:

Yang-Chang WU  
ADPHARMA INC.

having become the owner of all rights in and to the above-identified application by virtue of an Assignment executed by the inventor(s) concurrently with the execution of the application, said Assignment being submitted herewith for recording, hereby appoints:

Fei-Fei CHAO 43538

Whose address is: Venable, Baetjer, Howard & Civiletti, LLP  
1201 New York Avenue, N.W.  
Suite 1000  
Washington, D.C. 20005-3917  
U.S.A.

their attorneys to prosecute said application and to transact in connection therewith all business in the Patent and Trademark office and before competent International Authorities.

Date: December 3, 2001

*Wu Yang-Chang*  
*Chin-Tsai Fan*  
\_\_\_\_\_  
Yang-Chang WU  
Legal Representative: Chin-Tsai FAN

1005334-120704  
FOZ021-42350007

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: **ADPHARMA INC.**

Serial No.: **NOT ASSIGNED**

Art Unit: **NOT ASSIGNED**

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Examiner: **NOT ASSIGNED**

For: **NOVEL CYTOTOXIC ANNONACEOUS ACETOGENINS FORM ANNONA  
MURICATA**

**STATEMENT OF SMALL ENTITY STATUS**

Assistant Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

Sir:

In accordance with the provisions of 37 CFR §1.27, attached hereto is a Verified Statement Claiming Small Entity Status -- Small Business Concern which has been executed by the Assignee(s) of the entire interest.

It is respectfully requested that Applicant be granted the benefit of the Small Entity Status and that receipt of this status document be acknowledged in due course.

Respectfully submitted



Fei-Fei Chao, Ph.D.  
Reg. No. 43,538

Date: December 7, 2001

Venable, Baetjer, Howard & Civiletti, LLP  
1201 New York Avenue, N.W.  
Suite 1000  
Washington, D.C. 20005  
(202) 216-8011

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

Check one (

- a) ☒ the owner of the small business concern identified below:  
b) ☐ an official of the small business concern empowered to act on behalf of the concern identified below:

Insert company name and address (

NAME OF CONCERN: ADPHARMA INC.

ADDRESS OF CONCERN: 3F, No. 72, Sungchiang Rd., Taipei, Taiwan, R.O.C.

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

Insert title of application, inventor's names (

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled NOVEL CYTOTOXIC ANONACEOUS ACETOGENINS FROM ANNONA MURICATA by inventor(s) Yang-Chang WU described in

Check one, fill in if b) or c) (

- a) ☒ the specification filed herewith.  
b) ☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_.  
c) ☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). **NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Insert co-owners, if any, and check a), b) or c) (

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

a) ☐ INDIVIDUAL      b) ☐ SMALL BUSINESS CONCERN      c) ☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

a) ☐ INDIVIDUAL      b) ☐ SMALL BUSINESS CONCERN      c) ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

Insert (

NAME Chin-Tsai FAN

TITLE President

ADDRESS 3F, No. 72, Sungchiang Rd., Taipei, Taiwan, R.O.C.

Sign, date (

SIGNATURE Chin-Tsai Fan DATE December 3, 2001